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Page 1 of 2

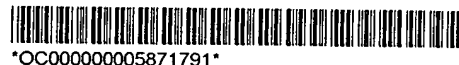
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/781,735	02/12/2001	Yang Gao	10508/16

CONFIRMATION NO. 7998

FORMALITIES LETTER



\*OC000000005871791\*

Darin E. Bartholomew  
BRINKS HOFER GILSON & LIONE  
1411 S. ALGONQUIN DR.  
SCHAUMBURG, IL 60193

Date Mailed: 03/16/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

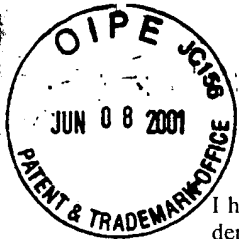
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*



**COPY**

I hereby certify that this correspondence is being deposited with the United States Postal Service, with sufficient postage, as first class mail in an envelope addressed to:

Commissioner for Patents  
Washington, D.C. 20231  
on May 8, 2001

\_\_\_\_\_  
Date of Deposit

\_\_\_\_\_  
Darin E. Bartholomew

\_\_\_\_\_  
Name of applicant, assignee or  
Registered Representative

\_\_\_\_\_  
*D E Bartholomew*  
Signature

\_\_\_\_\_  
*May 8, 2001*  
Date of Signature

Case No. 10508/16

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Yang Gao et al.

Serial No.: 09/781,735

Filed: February 12, 2001

For: Signal Processing System  
for Filtering Spectral  
Content of a Signal for  
Speech Encoding

Attention: Manager,  
Application Branch

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
FILING DATE GRANTED**

Commissioner for Patents  
Washington, D.C. 20231

Attn.: Box Missing Parts

Dear Sir:


In accordance with the Notice to File Missing Parts of Application Filing Date  
Granted dated March 16, 2001, a copy of which is attached, enclosed herewith for  
filing are the following documents:

**COPY**

- ☒ Fully executed Declaration for Patent Application.
- ☒ Applicant is:
- ☐ a small entity, verified statement is:
- ☐ attached
- ☐ already filed
- ☒ other than small entity
- ☒ Checks totaling \$130 for:
- ☐ Filing Fee of \$\_\_\_\_.
- ☒ Surcharge of \$130.
- ☐ Additional Claim Fees of \$\_\_\_\_.
- ☐ Petition for Extension of Time (37 C.F.R. § 1.136(a)) to file missing parts (in duplicate).
- ☒ Other: Assignment Recordal; Assignment; check for \$40.
- ☒ The Commissioner is hereby authorized to charge any deficiencies in fees or credit overpayment to Deposit Account No. 23-1925. A duplicate copy of this paper is enclosed.

Respectfully submitted,

Dated: May 8, 2001

  
Darin E. Bartholomew  
Registration No. 36,444  
Attorney for Applicant(s)

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, IL 60610  
(312)321-4200

rev. Dec.-99  
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I hereby certify that this correspondence is being deposited with the United States Postal Service, with sufficient postage, as first class mail in an envelope addressed to:

Commissioner for Patents Washington, D.C. 20231 on:

June 6, 2001, 2001

Date of Deposit

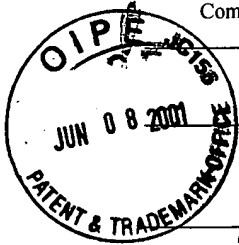
Darin E. Bartholomew, Reg. No. 36,444

Name of applicant, assignee or  
Registered Representative

Signature

June 6, 2001

Date of Signature



**Our Case No. 10932/159**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor(s):

Yang Gao et al.

Serial No.: 09/781,735

Filing Date: February 12, 2001

Title: SIGNAL PROCESSING SYSTEM  
FOR FILTERING SPECTRAL  
CONTENT OF A SIGNAL FOR  
SPEECH CODING

Examiner: Not Yet Determined

Group Art Unit No.: 2641

**SUBSTITUTION OF DRAWINGS**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Applicants have enclosed eight (8) sheets of formal drawings. Please substitute the enclosed sheets of formal drawings for the eight (8) sheets of drawings originally filed with the application.

Respectfully submitted,

Dated: June 6, 2001

Darin E. Bartholomew  
Registration No. 36,444  
Attorney for Applicant

BRINKS, HOFER, GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, ILLINOIS 60610



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TRANSMITTAL LETTER			Case No. 10932/159
Serial No. 09/781,735	Filing Date February 12, 2001	Examiner Not Yet Determined	Group Art Unit 2641
Inventor(s) Yang Gao et al.			
Title of Invention SIGNAL PROCESSING SYSTEM FOR FILTERING SPECTRAL CONTENT OF A SIGNAL FOR SPEECH CODING			

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is Substitution of Drawings including 8 sheets of formal drawings; Copy of Response to Notice to File Missing Parts previously filed on May 8, 2001.

- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☒ Petition for a 1 month extension (in duplicate) of time and check for \$110.
- ☒ No additional fee is required.
- ☐ The fee has been calculated as shown below:

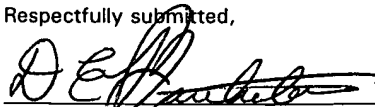
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

Small Entity	
Rate	Add'l Fee
x \$9 =	
x 40 =	
+ \$135 =	
Total add'l fee	\$

Other Than Small Entity	
Rate	Add'l Fee
x \$18 =	
x \$80 =	
+ \$270 =	
Total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$\_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

  
Darin E. Bartholomew  
Registration No. 36,444  
Attorney for Applicant

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, ILLINOIS 60610  
(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on June 6, 2001.

Date: June 6, 2001

Signature: 